

BEFORE THE  
POSTAL REGULATORY COMMISSION  
WASHINGTON, D.C. 20268-0001

PERIODIC REPORTING  
(PROPOSAL THREE)

Docket No. RM2020-10

**RESPONSES OF THE UNITED STATES POSTAL SERVICE  
TO QUESTIONS 1-4 OF CHAIRMAN'S INFORMATION REQUEST NO. 1**  
(June 26, 2020)

The United States Postal Service hereby provides its responses to the above listed questions of Chairman's Information Request No. 1, issued June 18, 2020. The questions are stated verbatim and followed by the response.

Respectfully submitted,

UNITED STATES POSTAL SERVICE

By its attorney:

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June 26, 2020

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1. Please provide the In-Office Cost System (IOCS) non-cluster sample SAS dataset for fiscal year 2020, quarters one and two including the following information.<sup>1</sup>
  - a. Please include the variables typically included in the Annual Compliance Review non-public filing<sup>2</sup> and also the following additional information for each record: the "F2" (actual finance number), "F229" (postal area), "F226" ("Site Code"), "F227" (work unit), "F13" (office name), "F14" (office ZIP code), "Q16B02B" (actual ZIP Code of route), and "Q23D02" (actual Destination ZIP Code) variables.<sup>3</sup>
  - b. Please provide a key that describes each of the values in the "F226" and "F227" variables field.<sup>4</sup>
  - c. Please explain the difference(s) between the "F226" and "F227" variables.
  - d. Please provide the variable and methodology used to identify the district of each sampled facility in the IOCS non-cluster sample.

**RESPONSE:**

- a) The updated dataset is included under seal in folder USPS-RM2010-10-NP2.
- b) The table below describes the values in F226.

F226 Site Code	Description
006	CARIBBEAN
020	GREATER BOSTON
040	NORTHERN NEW ENGLAND
060	CONNECTICUT VALLEY
070	NORTHERN NEW JERSEY
080	SOUTH JERSEY
100	NEW YORK
105	WESTCHESTER

<sup>1</sup> This is the same period as the Proposal Three IOCS cluster-sample data. See Library Reference USPS-RM2020-10-1, PDF file "Fldr.1.Prop.3.Preface.pdf," at 5.

<sup>2</sup> Docket No. ACR2019, Library Reference USPS-FY19-NP21, December 27, 2019, folder "Data."

<sup>3</sup> See Docket No. ACR2019, Library Reference USPS-FY19-37, December 27, 2019, Excel file "IOCSDataDictionaryFY19.xlsx," tab "Mainframe Layout."

<sup>4</sup> A description of the meaning of the values is not included in the data dictionary. See Docket No. ACR2019, Library Reference USPS-FY19-37, Excel file "IOCSDataDictionaryFY19.xlsx," tab "Mainframe Layout."

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F226 Site Code	Description
110	TRIBORO
114	NEW YORK INTL SVC CTR
117	LONG ISLAND
120	ALBANY
140	WESTERN NEW YORK
150	WESTERN PENNSYLVANIA
170	CENTRAL PENNSYLVANIA
190	PHILADELPHIA METRO
200	CAPITAL
210	BALTIMORE
220	NORTHERN VIRGINIA
230	RICHMOND
250	APPALACHIAN
270	GREENSBORO
280	MID-CAROLINAS
290	GREATER SO. CAROLINA
300	ATLANTA
320	NORTH FLORIDA
330	SOUTH FLORIDA
335	SUNCOAST
350	ALABAMA
370	TENNESSEE
390	MISSISSIPPI
400	KENTUCKIANA
440	NORTHERN OHIO
450	OHIO VALLEY
460	GREATER INDIANA
481	DETROIT
493	GREATER MICHIGAN
500	HAWKEYE
530	LAKELAND
553	NORTHLAND
570	DAKOTAS
604	CENTRAL ILLINOIS
606	CHICAGO
630	GATEWAY
640	MID-AMERICA
680	CENTRAL PLAINS
700	LOUISIANA
720	ARKANSAS
730	OKLAHOMA

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F226 Site Code	Description
752	DALLAS
760	FORT WORTH
770	HOUSTON
780	RIO GRANDE
800	COLORADO-WYOMING
840	SALT LAKE
852	ARIZONA
890	NEVADA-SIERRA
900	LOS ANGELES
913	SIERRA COASTAL
920	SAN DIEGO
926	SANTA ANA
940	SAN FRANCISCO
945	BAY-VALLEY
956	SACRAMENTO
967	HONOLULU
970	PORTLAND
980	SEATTLE
995	ALASKA

F226 is not populated under the following circumstances: 1) when readings have been autocoded (based on the employee's occupation code) and not sent to the field; 2) for census-based records; or 3) when data have not been received. F227 is no longer used and is not populated with data.

c) F226 is the siteID of the Data Collection Technicians (DCTs) that conduct the readings, and in general is the same as the Customer Service District (CSD). An exception is one mail processing facility that has its own siteID. On the other hand, F227 previously represented the work unit responsible for transcription and transmission of field data, but has not been used since data transmission has been electronically centralized.

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d) IOCS does not record the district of the sampled facility, but rather the siteID of the data collectors that conduct the readings. The siteID is usually, but not always, the same as the Customer Service District (CSD) identifier. SiteIDs are usually determined by the first three digits of the facility ZIP Code (F14). There are a few offices that are exceptions, however, generally when the facility is geographically much closer to the location of data collectors from a neighboring district.

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2. To better assess the Proposal Three IOCS cluster-sample selection, please provide the following additional and actual (rather than recoded)<sup>5</sup> information.<sup>6</sup>
- a. Please provide for the Proposal Three IOCS cluster sample data, the actual test id, actual sampled facility finance number, office name, ZIP Code of the office, "LocationSamp," "TestZone," "BaCode," ("Site Ba Code"), "Q16B02B" (ZIP Code of the route), "F226" ("Site Code"), "F227" (work unit), "F229" (postal area) and "Q23D02" (destination ZIP Code) variables.<sup>7</sup>
  - b. Please provide a key with a description for the values in the "BaCode" variable.<sup>8</sup>
  - c. Please describe the differences between the "BaCode" and "F226" variables.
  - d. If the descriptions for the values in the "F226" and "F227" variables in the IOCS cluster-sample differ from the descriptions for the same variables in the IOCS non-cluster sample, please specify how they differ, and provide a description key for each variable value.
  - e. Please provide the variable and methodology used to identify the district of each IOCS cluster-sample facility.
  - f. Please provide a description key for the values of the "WorkStatus" variable previously included in the Proposal Three IOCS cluster sample data.<sup>9</sup>

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<sup>5</sup> The Postal Service recoded the finance number of the sampled facility and a portion of the test identifier. See Library Reference USPS-RM2020-10-1, PDF file "Fldr.1.P.3.Preface.pdf," at 5.

<sup>6</sup> The Proposal Three IOCS cluster-sample data file includes the facility name, ZIP Code of the facility, site code and location of the sample. However, these do not appear to be included in the datasets initially provided in the Proposal Three filings. See Library Reference USPS-RM2020-10-1, folder "Public.Fldr.1.Prop.3.IOCS.Clstr," folder "Public," folder "Data," Excel file "IOCSDataDictionary\_IOCSCluster.xlsx," tab "Cluster Sample File Layout."

<sup>7</sup> Library Reference USPS-RM2020-10-1, folder "Public.Fldr.1.Prop.3.IOCS.Clstr," folder "Public," folder "Data," Excel file "IOCSDataDictionary\_IOCSCluster.xlsx," tabs "Mainframe Layout" and "Cluster Sample File Layout."

<sup>8</sup> A description of the values in the "BaCode" variable data field was not provided. See Library Reference USPS-RM2020-10-1, folder "Public.Fldr.1.Prop.3.IOCS.Clstr," folder "Public," folder "Data," Excel file "IOCSDataDictionary\_IOCSCluster.xlsx," tab "Mainframe Layout."

<sup>9</sup> A description of the values in the "WorkStatus" variable data field was not provided. See Library Reference USPS-RM2020-10-1, folder "Public.Fldr.1.Prop.3.IOCS.Clstr," folder "Public," folder "Data," Excel file "IOCSDataDictionary\_IOCSCluster.xlsx," tab "Mainframe Layout."

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**RESPONSE:**

- a. Please see the dataset updated with the requested variables provided under seal in folder USPS-RM2010-10-NP2.
- b. The BACode (or Budget Authorization Code) value is constructed by two pieces. The first character is either a "1" or a "4," which represents the office type. A "1" represents plants (and other facilities of the same type), while a "4" represents post offices (both delivery and retail offices). The second character of the BACode is the area in which the office is located. All offices sampled in IOCS-Cluster are office type "4." The table below describes all the possible values in IOCS-Cluster:

<b>BA Code</b>	<b>Definition</b>
4B	Post Office, "NORTHEAST" area
4C	Post Office, "EASTERN" area
4E	Post Office, "WESTERN" area
4F	Post Office, "PACIFIC" area
4G	Post Office, "SOUTHERN" area
4J	Post Office, "GREAT LAKES" area
4K	Post Office, "CAPITAL METRO" area
XX	No BA Code assigned, phone tests were not assigned a BA Code
Blank	Census readings do not have any information in the BA Code Field

- c. The BACode is the combination of the office type and area of the selected facility, as described in part b. F226 is the 3-digit siteID that corresponds with the district of the data collector that recorded the data.

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- d. F226 and F227 have the same definition for IOCS and IOCS-Cluster. The variable F227 is not populated in IOCS-Cluster.
- e. The methodology for assigning data field F226, the sitelD which usually corresponds to the district of the data collectors conducting the test, is the same for IOCS-Cluster as for IOCS, as described in Question 1, part d.
- f. The WorkStatus variable is defined as:

<b>Work Status</b>	<b>"Employee Status" Software Button</b>	<b>Description</b>
2	"Not clocked in now to this finance number"	Employee is not working in the selected finance number
3	"Cannot conduct reading"	Data Collector was unable to conduct the reading in a timely manner
4	"Unexpected leave"	Employee was expected to work in the selected finance number, but has confirmed that they are no longer working in the select finance number at the time of the reading. On-site tests only.
5	"Working now in this finance number" (when not IOCS craft)	Employee is actively working in the selected finance number, but clocked as a craft group that is not sampled by IOCS
6	"Respondent Not Available"	A telephone respondent was not reached in a timely manner. Telephone tests only.
7	"Working now in this finance number" (when IOCS Craft)	Employee is actively working in the selected finance number, clocked as a craft group that is sampled by IOCS (city carrier, supervisor, clerk/mailhandler)



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3. Please provide the following information used to produce the final Proposal Three IOCS cluster sample dataset.
- a. For the calculations and processing in the "ATCOST" SAS program,<sup>10</sup> please provide the "TACSSummary" (TACS workhours) and "POEXPTBL" (accrued costs from the accounting systems) datasets and the values used for the city carrier assistant and supervisor wages (inputs for the "CCAWG" and "SUPWG" variables).
  - b. For the calculations and partial processing in the "CL101" SAS program,<sup>11</sup> please provide the "SampM," "SampA," "POTable," "Orfeo," "SUMM3," "IOCL," "SampF," and "ANOM" datasets, the "Clusall," and "Clus\_Samp" macros code and the "PSUwgtAdj" format code.

**RESPONSE:**

- a. The requested datasets are provided under seal in folder USPS-RM2010-10-NP2. Parsing for the POEXPTBL files can be found within the ATCOST program. For both FY20Q1 and FY20Q2, CCAWG was defined as "23.6271" and SUPWG was defined as "52.4090".

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<sup>10</sup> See Library Reference USPS-RM2020-10-1, folder "Public.Fldr.1.Prop.3.IOCS.Clstr," folder "Public," folder "SASPrograms," program "ATCOST."

<sup>11</sup> See Library Reference USPS-RM2020-10-1, folder "Public.Fldr.1.Prop.3.IOCS.Clstr," folder "Public," folder "SASPrograms," program "CL101."

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- b. The following quarter-specific flat files and datasets can be found under seal in folder USPS-RM2010-10-NP2:

<b>Physical File</b>	<b>Corresponding File</b>
ANOMALY.CLUS.FY20QX	ANOM
IOCL20QX.TXT	SampF
IOCLQX.FLAT	IOCL
ORFEO.PQXFY20	Orfeo
POTABLE	POTable
SAMP.AFT.QX.TXT	SampA
SAMP.MORN.QX.TXT	SampM
SUMM3QX.SAS	Summ3
CLUSALL.MACRO.SAS	Clusall
CLUS_SAMP_MACRO.SAS	Clus_Samp

The PSUwgtAdj format is 3.1, numeric with 1 decimal place.

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4. The Postal Service states that “[w]hile the universe is considered all workhours, only TACS workhours are incorporated in IOCS-Cluster.”<sup>12</sup>
- a. Please explain the difference between “all workhours” and “only TACS workhours.” *Id.*
  - b. Please specify by quarter, craft and facility cost ascertainment group, the number of workhours that are not included in TACS workhours.

**RESPONSE:**

- a. TACS workhours are based on clock rings, which are generally recorded by electronic time clocks, but also include any edits to clock rings made before the pay period is closed. They do not include workhours entered by paper time cards. All workhours include all hours used by payroll to compensate employees, including hours entered manually from paper time cards. It also reflects any adjustments made after TACS clock ring data for the pay period have been finalized and archived.
- b. Please see the Excel workbook attached to this response electronically, which compares workhours from the TACS with those from payroll for full-time city carriers and for part-time and transitional city carriers, by CAG group.<sup>13</sup> These are summarized for pay periods 21 to 01 (“Q1”), pay periods 02 to 07 (“Q2”) and pay periods 21 to 07 (“Q2YTD”). For all city carriers for

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<sup>12</sup> Library Reference USPS-RM2020-10-1, folder “Public.Fldr.1.Prop.3.IOCS.Clstr,” folder “Public,” folder “Documents,” PDF file “AppendixA.pdf,” at 1 n. 1.

<sup>13</sup> CAGs A and B are combined into “A/B”, since one set of hours is summarized by the IOCS CAGs, which are adjusted for historically important finance numbers, while the other set is not. CAGs H-L are combined to reflect estimation methodology in IOCS and IOCS-Cluster.

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PP07YTD, TACS and Payroll were 196.4M and 197.4M workhours respectively, a difference of 1.0M workhours, or 0.5 percent.